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PROGRAM MEMO

TO:	NO.: **PM 01-17 (P)**
LONG-TERM CARE OMBUDSMAN COORDINATORS **AREA AGENCIES ON AGING DIRECTORS**	

SUBJECT: National Ombudsman Reporting System OmbudsManager REVISED	DATE ISSUED: December 4, 2001
	EXPIRES: N/A Until Superseded
REFERENCES:	SUPERSEDES: PM 00 -07

PROGRAMS AFFECTED:
  [ ]   All   [ ]Title III-B   [ ] Title III-C1/C2   [ ] Title III-D   [ ] Title III-F   [ ] Title V
  [ ]   CBSP   [ ] MSSP   [ ] Title VII   [ ] ADHC   [x] Other: OSLTCO

REASON FOR PROGRAM MEMO:
  [ ] Change in Law or Regulation   [ ] Response to Inquiry   [x] Other Specify: OmbudsManager

INQUIRIES SHOULD BE DIRECTED TO: Vicky Radford (916) 323-8919; Kimba Livesay (916) 327-2283

NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) REPORTING REQUIREMENTS

HISTORY

The Older Americans Act, Title VII, Section 712 (c) requires the California Department of Aging (CDA) to establish a statewide uniform reporting system to collect and analyze data relating to complaints and conditions in long-term care facilities.

In 1994, the Administration on Aging (AoA) required the State Units on Aging to implement a uniform management information system titled, the "National Ombudsman Reporting System" (NORS), an important component of the National Aging Program Information System (NAPIS).

In 1995, the AoA issued a Program Instruction Memorandum (AoA PI 95-10) to inform all State Units on Aging that the U.S. Office of Management and Budget approved the NORS and its phase-in implementation plan to begin in Fiscal Year (FY) 1996.

Flex
your
POWER

In 1996, the AoA provided State Units on Aging the option to use *OmTrak*, a NORS software developed by Dr. Ruth Huber, University of Louisville, Kentucky, through the auspices of an AoA, Title IV Demonstration Grant.

In 2001, the Office of the State Long-Term Care Ombudsman (OSLTCO) purchased OmbudsManager Data System for 35 local programs and 10 regional programs in Los Angeles.

LEGISLATION

The OSLTCO operates under the auspices of the CDA. It is the belief of the OSLTCO that comprehensive, accurate shared information will enhance our ability to provide better service to our customers. CDA's vision for a software system that includes components such as data collection, reporting, processing, and data analysis is being driven by new legislative and administrative initiatives to prepare California's government for a growing aging population. Recent federal and State legislation such as Olmstead Decision, Government Performance and Results Act, AB 27, AB 452, and SB 910 are indications of a greater interest in harnessing meaningful information for the benefit of consumer and service organizations, as well as, improved administrative processes.

OMBUDSMANAGER DATA SYSTEM

BACKGROUND

In 2000, the OSLTCO began evaluating the *OmTrak* and *OmView* software systems. The majority of Long-Term Care (LTC) Ombudsman Coordinators were having major difficulties with the software system, including:

- Loss of information
- Incompatibility with network servers
- DOS based system that conflicts with Windows
- Y2K glitches/not Y2K compliant
- Problems with backing up *OmTrak* files
- Problems in exporting data
- Corrupt database
- Contradicting reports
- AoA printing problems
- No technical support from software developer

The OSLTCO began a Feasibility Study Report (FSR) regarding our current software system. In researching a new software program we had two options, purchasing a product that was already developed or hiring an independent contractor to develop a software system.

After completing the FSR, we selected OmbudsManager (OM) by Synergy for the following reasons:

1. CDA is in the process of purchasing the SAMS product for the Data Team. This would insure that our program, OM would be compatible for reporting NORS and NAPIS.
2. Two-thirds of the California Area Agencies on Aging (AAA) already used the SAMS reporting system by Synergy.
3. We had the opportunity to assist in the design of the product by Synergy.

Ten local LTC Ombudsman programs agreed to review the first version of the software, and one program agreed to Beta test the software. All comments and suggestions from the local programs and State staff were forwarded to Synergy's design team, which incorporated many of our suggestions. The current OM software is a result of four versions of the program with input from not only California but from several other states.

OM FEATURES

OM is a comprehensive data collection system. Features Include:

- Uniformed data system
- Window based (95, 98 & 2000)
- Ongoing technical assistance and support from vendor
- Annual updates provided by vendor
- Ability to define tables or information
- Complaint tracking
- Internet support
- Generates 22 standard reports for improved data analyses
- NORS Reporter for generating AoA reports
- Compatible with network systems

SYSTEM REQUIREMENTS

Computer

- Pentium II or higher
- Windows 95 or higher
- Processor speed 400 MHz
- CD-ROM
- 20 MB of hard drive space

Server Requirements for Programs with NetWork Systems

- Pentium III
- Processor speed 800 MHz
- 512 MB RAM
- Windows NT Server or Windows 2000 Server
- 18 Gigabyte Hard Drive
- CD-ROM

INSTRUCTIONS RELATED TO OMBUDSMANAGER

Installing OM

1. Read the OM manual and all related materials.
2. Follow the installation guide located in the OM manual (front left-side pocket.)
3. Follow the instructions for the OM quick start guide located in the OM manual (front left-side pocket.)

4. Check all information in the database for accuracy including facilities, facility owners, addresses, volunteers and staff. Facility information was acquired from the Department of Social Services and the Department of Health Services.
5. ***Do Not change Login ID and Password***; these passwords are located in the OM manual.

Technical Support

Please email all questions and concerns to Ombi@aging.ca.gov. The OSLTCO is anticipating an increased volume of technical support questions. The OSLTCO will email a response as soon as possible. If the issue is complex, the OSLTCO will call the local program. The email will assist the OSLTCO in keeping a technical assistance log for training purposes and to assist in communication with Synergy.

If the local LTC Ombudsman program is experiencing technical difficulties due to computer systems or network servers, then they are encouraged to contact Synergy directly. Tom Laba or Jason Leniham are the technical support representatives for OM and can be reached at Support@Synergysw.com

Quarterly Reports

All sub-state LTC Ombudsman programs will receive the new OM program by December 1, 2001. All programs should be on-line with OM by January 1, 2002. Omtrak will be used to report the first and second quarters. OmbudsManager will be used to report the third and fourth quarters. The OSLTCO will combine the two reports for the NORS/AoA report.

Transfer of Open Cases

On January 1, 2002, the local LTC Ombudsman program must manually transfer (re-enter) any open cases that are currently in *OmTrak* to OmbudsManager. All open cases in *OmTrak* should either be closed or re-entered into OmbudsManager.

Data Conversion

Sub-state LTC Ombudsman programs has three options regarding data conversion:

1. Manually re-enter all client data into the OM system.
2. Contact Synergy to perform a data conversion. The cost of this conversion will be the responsibility of the sub-state LTC Ombudsman Program.
3. The Sub-state LTC Ombudsman Coordinator may choose not to transfer data from *OmTrak* to OmbudsManager.

ROLES AND RESPONSIBILITIES RELATED TO OMBUDSMANAGER

The (OSLTCO) has primary responsibility to:

- Purchase the initial and annual license for the OM program.
- Manage the OM software program including software upgrades.
- Provide OM training at the LTC Ombudsman conferences.
- Utilize OM reports for program management purposes.

- Assist in providing technical assistance to the local programs.
- Work with Synergy to ensure quality technical assistance to the local programs.
- Transmit federally mandated, statewide NORS reports to the AoA, State agencies and the annual report for the Legislature.

The sub-state LTC Ombudsman Programs have primary responsibility to:

- **Read the OM manual before contacting the OSLTCO with questions.**
- Install and maintain the OM software program.
- Collect, input and report of accurate and timely NORS data.
- Utilize OM for program management purposes.
- Transmit federally mandated statewide NORS report (NORS Reporter) to the OSLTCO and the AAAs.

The AAAs has primary responsibility to:

- Ensure that the specifications in the Program Exhibits, Part IV, Reporting Provisions of the Title III and VII AAA contract are met.
- Utilize NORS report for contract/fiscal development and oversight.
- Ensure that sub-state LTC Ombudsman programs have the necessary and sufficient staffing and computer hardware resources to operate and maintain OmbudsManager.

PROCEDURES FOR DISSEMINATION OF NORS/AoA REPORTS

Quarterly NORS/AoA Reports

At the end of each quarter of the respective fiscal year, i.e., State Fiscal Year (SFY) 2000-2001, the sub-state LTC Ombudsman programs will prepare two hard copies of the NORS/AoA report by utilizing the NORS Reporter function and the export function. There are two options for transmitting data:

1. Data can be sent to the OSLTCO using a 3.5 disk.
2. LTC Ombudsman Programs may also use the Internet to email the data to OMBI@aging.ca.gov. (On the subject line of the email please enter your PSA #, i.e. PSA 14.)

The sub-state LTC Ombudsman programs will disseminate the quarterly report in the following manner:

- One hard copy will be transmitted to the respective AAAs.
- One hard copy will be transmitted to the OSLTCO.
- One disk containing data that has been exported will be transmitted to the OSLTCO. (Refer to the OmbudsManager manual for export function instructions **OR** transfer data that has been exported by using the Internet.)

ANNUAL NORS/AoA Reports

At the end of each fiscal year, the sub-state LTC Ombudsman programs will prepare two hard copies of the NORS/AoA report and one disk containing cumulative annual data for all four quarters. The sub-state LTC Ombudsman program will distribute annual reports in the following manner:

- One hard copy will be transmitted to the respective AAA.
- One hard copy will be transmitted to the OSLTCO.
- One disk will be transmitted to the OSLTCO.

SCHEDULE FOR SUBMITTING NORS/AoA REPORTS

Sub-state LTC Ombudsman programs will organize and prepare their NORS/AoA quarterly reports for reporting to the OSLTCO and AAAs on the following quarterly schedule:

- July 1st to September 30th
- October 1st to December 31st
- January 1st to March 31st
- April 1st to June 30th

To allow a reasonable time for preparation of reports and transmittal to AAAs and OSLTCO, all NORS/AoA quarterly reports will be due 30 days after the end of each quarter. For NORS/AoA reports that are 30 days or more in arrears of the due date, the AAAs shall immediately provide a written explanation to the OSLTCO. The written explanation will include the reason for the delay and the date that the report will be submitted, the date contingent or agreement of the State LTC Ombudsman.

Sub-state LTC Ombudsman programs will prepare a NORS/AoA annual report for reporting to the AAAs and the OSLTCO at the end of the 4th quarter for the state fiscal year, (i.e., June 30, 2001 and June 30, 2002). NORS/AoA annual reports will be due 60 days after the end of the 4th quarter (August). For NORS/AoA annual reports that are 60 days or more in arrears of the due date, the AAAs will immediately provide a written explanation to the OSLTCO. The written explanation will include the reasons for the delay and the date that the report will be submitted, the date contingent of agreement of the State Long-Term Care Ombudsman.

Report Schedule:

Quarter #1 Reports	July 1st – September 30th	Due October 31st
Quarter #2 Reports	October 1st – December 31st	Due January 31st
Quarter #3 Reports	January 1st – March 31st	Due April 30th
Quarter #4 Reports	April 1st – June 30th	Due July 31st
Annual Report	July 1st to June 30th	Due August 30th

We expect a few glitches during the first reporting period. The State Ombudsman staff will be available to assist those programs experiencing difficulties. Conversion of a new system is always difficult. However, by working together we can make the transition as smooth as possible. As a result, the final outcome will be a much improved data collection system.

Lynda Terry
Director